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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE****RECEIVED**

DEC 29 2000

Application of: Denise L. Faustman  
Serial No.: 09/673,292  
Filed: October 13, 2000  
Entitled: TRANSPORT ASSOCIATED PROTEIN  
SPLICE VARIANTS AND MODEL FOR  
IMMUNE DIVERSITY

ART UNIT: (not yet assigned) **TECH CENTER 1600/2900**EXAMINER: (not yet assigned) **#3**  
**1-8-01**  
**P.2**

Attorney Docket No. MGH-002.1P US/MGH-1247.0

Asst. Commissioner for Patents  
Washington, D.C. 20231**TRANSMITTAL LETTER**

Sir:

Transmitted herewith are: [X] An Information Disclosure Statement (IDS) under 37 CFR §§ 1.56, 1.97 and 1.98; [X] Form PTO-1449 Information Disclosure Statement; [X] A photocopy of each reference cited; and [X] a return receipt post card.

**PAYMENT OF FEES**

- [ ] A check in the amount of \$\_\_\_\_\_ in payment of the fee for submission of an information disclosure statement transmitted herewith.
- [X] The Commissioner is hereby authorized to charge payment of any additional fees required under 37 CFR §§ 1.16 or 1.17 in connection with the paper(s) transmitted herewith, or to credit any overpayment of same, to Deposit Account No. 50-0268. A duplicate copy of this transmittal letter is transmitted herewith.

Respectfully submitted,

Leon R. Yankwich; Registration No. 30,237  
Kenneth P. Zwicker, PhD; Registration No. 43,310  
Attorneys for Applicants  
YANKWICH & ASSOCIATES  
130 Bishop Allen Drive  
Cambridge, Massachusetts 02139  
telephone: (617) 491-4343  
telefax: (617) 491-8801

**CERTIFICATE OF MAILING**

The undersigned hereby certifies that this correspondence is being deposited with the U.S. Postal Service as Priority Mail postage prepaid, in an envelope addressed to the Asst. Commissioner for Patents, Washington, DC 20231, on the date indicated below.

December 19, 2000  
Date

Stephanie L. Leicht



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Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §§ 1.56, 1.97 AND 1.98**

Dear Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicant submits this Information Disclosure Statement pursuant to 37 C.F.R. §§ 1.97 and 1.98 in the above-identified application for consideration by the Patent Office.

A modified Form PTO-1449 listing the cited documents is also enclosed, as well as, for the Examiner's convenience, copies of the documents in the list. Pursuant to 37 C.F.R. § 1.97(b)(3), because this Statement is being submitted before the first Office Action on the merits, no fee is required.

**US Patent Documents:**

U.S. 4,946,778, issued August 7, 1990 (Ladner et al.)

U.S. 5,538,854, issued July 23, 1996 (Faustman)

**Foreign Patent Documents:**

WO 92/11289 A1, published July 9, 1992 (Trowsdale et al.)

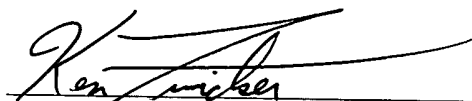
**Other Publications:**

- Androlewicz et al., *Proc. Natl. Acad. Sci. USA*, 91(26): 12716-12720 (1994);
- Attaya et al., *Nature*, 355: 647 (1992);
- Bahram et al., *Proc. Natl. Acad. Sci. USA*, 88: 10094-10098 (1991);
- Beck et al., *J. Mol. Biol.*, 228: 433-441 (1992);
- Cole et al., *Monoclonal Antibodies and Cancer Therapy*, Alan R. Liss, Inc., pp. 77-96 (1985);
- Daniel et al., *J. Immunol.*, 159: 2350-2357 (1997)
- Faustman et al., *Science*, 254: 1756-1761 (1991);
- Fu et al., *J. Clin. Invest.*, 91: 2301 (1993);
- Hill et al., *Proc. Natl. Acad. Sci. USA*, 92: 341-343 (1995);
- Howard., *Proc. Natl. Acad. Sci. USA*, 90: 3777-3779 (1993);
- Kohler and Milstein, *Nature*, 256: 495-497 (1975);
- Kozbor et al., *Immunology Today*, 4: 72 (1983);
- Momburg et al., *Nature*, 367: 648 (1994);
- Momburg et al., *J. Exp. Med.*, 179: 1613 (1994)
- Neefjes et al., *Science*, 261: 769 (1993);
- Neefjes et al., *Eur. J. Immunol.*, 25: 1133 (1995);
- Obst et al., *Eur. J. Immunol.*, 25: 2170-2176 (1995);
- Ortmann et al., *Nature*, 368: 864 (1994);
- Powis et al., *J. Exp. Med.*, 173: 913 (1991);
- Powis et al., *Nature*, 357: 211-215 (1992);
- Powis et al., *Immunogenetics*, 37: 373-380 (1993);
- Powis et al., *Immunity*, 4(2): 159-165 (1996);
- Schumacher et al., *Proc. Natl. Acad. Sci. USA*, 91(26): 13004-13008 (1994);
- Spies and DeMars, *Nature*, 351: 323 (1991);
- Wang et al., *Human Gene Therapy*, 6: 1005-10017 (1995).

There is no intention on the part of Applicant to indicate by the listing above that any of the foregoing documents is material to the patentability of the claimed invention.

Applicant requests that each of the publications listed above be considered and made of record in the present application.

Respectfully submitted,



Leon R. Yankwich, Registration No. 30,237

Kenneth P. Zwicker, Ph.D., Registration No. 43,310

Attorneys for Applicant

Yankwich & Associates

130 Bishop Allen Drive

Cambridge, Massachusetts 02139

Phone: (617) 491-4343

Facsimile: (617) 491-8801

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December 19, 2000

date of mailing and signature

Stephanie L. Leicht

Stephanie L. Leicht

Modified FORM PTO-1449



# LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

MGH-002.1P US

SERIAL NO. RECEIVED

09/673,292

DEC 29 2000

APPLICANT

D. Faustman

TECH CENTER 1600/2900

FILING DATE

October 13, 2000

GROUP

not yet assigned

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	U.S. 4,946,778	8/7/90	Ladner et al.			
	AB	U.S. 5,538,854	7/23/96	Faustman			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	TRANSLATION YES NO
	AC	WO 92/11289	7/9/92	Trowsdale et al.			

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	AD	Androlewicz et al., <u>Proc. Natl. Acad. Sci. USA</u> , 91(26): 12716-12720 (1994);
	AE	Attaya et al., <u>Nature</u> , 355:647 (1992);
	AF	Bahram et al., <u>Proc. Natl. Acad. Sci. USA</u> , 88: 10094-10098 (1991);
	AG	Beck et al., <u>J. Mol. Biol.</u> , 228: 433-441 (1992);
	AH	Cole et al., <u>Monoclonal Antibodies and Cancer Therapy</u> , Alan R. Liss, Inc., pp. 77-96 (1985);
	AI	Daniel et al., <u>J. Immunol.</u> , 159: 2350-2357 (1997)
	AJ	Faustman et al., <u>Science</u> , 254:1756-1761 (1991);
	AK	Fu et al., <u>J. Clin. Invest.</u> , 91:2301 (1993);
EXAMINER		DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP §609.  
Draw line through citation if not in conformance and not considered. Include copy of this form with  
next communication to Applicant.

<b>Modified FORM PTO-1449 - CONT'D</b>  <b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)	<b>ATTY. DOCKET NO.</b> MGH-002.1P US	<b>SERIAL NO.</b> 09/673,292
	<b>APPLICANT</b> D. Faustman	
	<b>FILING DATE</b> October 13, 2000	<b>GROUP</b> not yet assigned

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

	<b>AL</b>	Hill et al., <u>Proc. Natl. Acad. Sci. USA</u> , 92: 341-343 (1995);
	<b>AM</b>	Howard., <u>Proc. Natl. Acad. Sci. USA</u> , 90: 3777-3779 (1993);
	<b>AN</b>	Kohler and Milstein, <u>Nature</u> , 256:495-497 (1975);
	<b>AO</b>	Kozbor et al., <u>Immunology Today</u> , 4:72 (1983);
	<b>AP</b>	Momburg et al., <u>Nature</u> , 367:648 (1994);
	<b>AQ</b>	Momburg et al., <u>J. Exp. Med.</u> , 179:1613 (1994)
	<b>AR</b>	Neefjes et al., <u>Science</u> , 261:769 (1993);
	<b>AS</b>	Neefjes et al., <u>Eur. J. Immunol.</u> , 25:1133 (1995);
	<b>AT</b>	Obst et al., <u>Eur. J. Immunol.</u> , 25: 2170-2176 (1995);
	<b>AU</b>	Ortmann et al., <u>Nature</u> , 368:864 (1994);
	<b>AV</b>	Powis et al., <u>J. Exp. Med.</u> , 173:913 (1991);
	<b>AW</b>	Powis et al., <u>Nature</u> , 357:211-215 (1992);
	<b>AX</b>	Powis et al., <u>Immunogenetics</u> , 37:373-380 (1993);
	<b>AY</b>	Powis et al., <u>Immunity</u> , 4(2):159-165 (1996);
	<b>AZ</b>	Schumacher et al., <u>Proc. Natl. Acad. Sci. USA</u> , 91(26):13004-13008 (1994);
	<b>BA</b>	Spies and DeMars, <u>Nature</u> , 351:323 (1991);
	<b>BB</b>	Wang et al., <u>Human Gene Therapy</u> , 6: 1005-10017 (1995).
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